

## Financial Partners Data Mart Checklist

CRITERIA DESCRIPTION	GAP (Y/N)	COMMENTS/ HOW VALIDATED	WORK EFFORT	TARGET Cmpl DATE	STATUS	RESP	RISKS IDENTIFIED	PROPOSED RISK MITIGATION
<b>CLIENT</b>								
Escalation Process	Y	See document 'Client – Change Control Process.doc'		6/22/01	YELLOW	Krecklow	A task order for application maintenance is not in place.	During the production support time from TO 50, Anna Allen and Nancy Krecklow will jointly pursue and process issues.  An application maintenance task order needs to be in place to support the application after the time frame in Task Order 50.
Change Control Procedures	Y	See document 'Client – Change Control Process.doc'		6/22/01	YELLOW	Krecklow	A task order for application maintenance is not in place	During the production support time from TO 50, Anna Allen and Nancy Krecklow will jointly pursue and process issues.  An application maintenance task order needs to be in place to support the application after the time frame in Task Order 50.



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Applications Management Task Order Reviewed and Approved	Y			6/9/01	RED		An application maintenance task order is not in place	Currently working with Bill Walsleben, Phill Thomas, Jim Lynch, Anna Allen and Johan Bos-Beijer to get a TO in place.
<b>GENERAL</b>								
Project Definition Documentation		Located in Task Order 50			GREEN			
- Task Order	N				GREEN			
- Scope	N				GREEN			
- Approach	N				GREEN			
- Business Drivers	N				GREEN			
<b>SERVICE OPERATIONS/ RECOVERY/ CONTINGENCY</b>								
VDC Operations Documentation								
- Responsibilities Matrix	N	See 'Operations – FP Data Mart Resp Matrix.doc'			GREEN			
- Call Out List	N	See 'Operations – FP Data Mart Callout list.doc'			GREEN			
- Escalation List	N	See 'Operations – FP Data Mart Callout list.doc'			GREEN			
- Due Diligence	N	See 'Operations – FP Data Mart Operations Checklist.doc'			GREEN			



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- Memorandum of Understanding/Operations SLA	N	See 'Operations – FP Data Mart MOU.doc'			GREEN			
- Run Book	N				GREEN			
- Installation Guidelines	N	<p>See 'Operations – FP Data Mart Installation Guidelines.doc' for information related to MicroStrategy.</p> <p>It is assumed that the Installation Guidelines already exist for Informatica since the DLM project is actively using Informatica in production. The FP Data Mart project used the same version of Informatica that was already installed and supporting the CFO data mart and the DLM data mart.</p>			GREEN			



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- Troubleshooting Procedures	N	Addressed via Diagnostics Tool; See 'Operations – FP Data Mart Diagnostic List.doc' and 'Operations – MicroStrategy Validation and Problem Determination.doc'			GREEN			
Number of Application Users	N	Potential for 4500 users but less than 100 concurrent			GREEN			
Application Service Level Agreement	Y	An application maintenance task order to cover the CFO Data Mart and FP Data Mart is not in place		6/22/01	YELLOW	Krecklow	An application maintenance task order is not in place  Currently no approved service level agreements are in place between the application maintenance team and the project sponsor.	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order.



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Application Operating Level Agreement	Y	An application maintenance task order to cover the CFO Data Mart and FP Data Mart is not in place		6/22/01	YELLOW	Krecklow	An application maintenance task order is not in place  Currently no approved operating level agreements are in place between the application maintenance team and the VDC.	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order.
Application Help Desk established	Y	An application maintenance task order to cover the CFO Data Mart and FP Data Mart is not in place		6/9/01	RED	Krecklow	Maintenance of and enhancements to the application will not be available until an Application Maintenance Task Order is in place. Customer Service may not be consistent throughout the initial period.	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order. Develop processes for Partner Services group to provide support from the regions.
<b>CONFIGURATION MANAGEMENT/SOURCE CONTROL</b>								
Configuration Management Plan	N	See 'CM – FP Data Mart Configuration Management.doc'			GREEN			
Version Control Procedures	N	See 'CM – FP Data Mart Configuration Management.doc'			GREEN			



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Source Code Library	N	'Source code' is contained within the Informatica and MicroStrategy repositories. The source code for the extracts from the mainframe will not change. Additional extract programs may be required depending upon new requirements. The extract program source code was created by the current FFEL application maintenance contractor and is contained within their source libraries.			GREEN			
<b>TECHNICAL ARCHITECTURE</b>								
Architecture Design	N	See 'Technical – Architecture Design.doc'			GREEN			
Development (i.e. coding) Standards	N	See 'Technical – Development Standards.doc'			GREEN			



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Software Development Lifecycle Processes	N	Used hybrid of IPT, SDLC, and MicroStrategy Methodology. <b>IT Management plans to adopt the MicroStrategy Methodology for development of data marts. It is planned that the SDLC will be updated to reflect this approach.</b>			GREEN			
Environment Specifications	N	See 'Operations – FP Data Mart Operations Checklist.doc' and 'Technical – Architecture Design.doc'			GREEN			
- Development	N				GREEN			
- Test	N				GREEN			
- Production	N				GREEN			
<b>LICENSING</b>								
Software License Requirements (incl. Paid Licenses)	N	Ketan Dholakia maintains all software licensing information for purchased software			GREEN			



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<b>CODE REVIEW</b>								
User Specifications	N	See the FP Data Mart Design document; 'Security – FP Data Mart Security Plan.doc'			GREEN			
Functional Specifications	N	See the FP Data Mart Design document			GREEN			
Technical Specifications	N	See the FP Data Mart Design document; table and column definitions are in Oracle Designer			GREEN			
<b>SECURITY</b>								
Application Security Requirements	N	See 'Security – FP Data Mart Security Plan.doc'			GREEN			
Security Officer Identified	N	Willie Sutton			GREEN			
Rules of Behavior for System Users	N	FP Data Mart is using the <u>OSFA Guide to Information Security and Privacy</u> document provided in July '00 by OSFA  See 'Security – FP Data Mart Security Plan.doc'			GREEN			



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Personnel Security Classifications for users, developers, testers, and others	N	<p>Each team member requires a level5C clearance at a minimum.</p> <p>DBAs require a Level 6C.</p> <p>Each user's access to the system is controlled based on their group /need and clearance.</p> <p>End-Users are assigned to a 'group' within the MicroStrategy software with the appropriate privileges based on their responsibilities.</p> <p>All access must be approved by the SFA FP Data Mart Operations and Security Officer prior to issuing a userid.</p>			GREEN			
Disaster Recovery/Continuity of Operations Plan	N	In the event of unusual circumstances and the data mart is			GREEN			



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		<p>unavailable for an extended period of time, the users will prepare for their reviews/audits and answer questions as they did prior to the implementation of the data mart. The SLA and Application Maintenance task order will mitigate any ongoing problems.</p> <p>As this is a reporting database, a specific DR test is not planned for this Release. In the event of a disaster, the database backups of the Informatica repository, the MicroStrategy Respository, or the actual Data Mart will be used to re-create the failed database.</p>						
Data Integrity/Validation Controls	N	- Data in the data mart is read only. Data was imported to the			GREEN			



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		<p>data mart to replicate the information that was in FFEL with no cleansing or edit functions.</p> <p>- The application maintains two userids for connection to Oracle. One used by Informatica to update/insert records into the data mart. The other used by MicroStrategy with read-only access.</p> <p>- Database software: the database tables include integrity constraints.</p>						
Audit Trails	N	See 'Security – FP Data Mart Security Plan.doc'.			GREEN			
System Security Plan	N	See 'Security – FP Data Mart Security Plan.doc'.			GREEN			



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Certification and Accreditation Plan (with Interim Approval to Operate memo signed by the system owner)	N				GREEN			
<b>TESTING</b>								
Test Strategy and Approach (for all levels of testing)	N	See 'TO 50 System Test Plan v2.doc', 'TO 50 Product Test Plan v1.doc', and 'TO 50 Stress Test.doc'			GREEN			
Test Model (incl. test plans and test scripts mapped to the appropriate requirements)	N	Several spreadsheets with expected results mapped to requirements listed in 'FP Data Mart Requirements v2.doc'			GREEN			
Test Data	N	Production data was used			GREEN			
Documented Test Results	N				GREEN			
SIR Log	N	See 'FP Data Mart SIR Log.xls'			GREEN			
Client and User Sign-Off	N	Sign-off on User participation in Product testing			GREEN			



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<b>APPLICATION TRAINING</b>								
User Training Conducted	N	Training Scheduled for 5/22/01. In addition, there is CBT training			GREEN			
User Installation and Setup Procedures	N	User workstations only require a browser			GREEN			
On-going Training Function Available	N	There is CBT training available.			GREEN			
<b>TRANSITION</b>								
Open SIR Responsibility Identified and Agreed Upon	N	All critical 'error' SIRs are closed. Enhancements are documented for the application maintenance team.			GREEN			
Support available for Software Package	Y	Informatica and MicroStrategy support once a person has become Certified		6/22/01	YELLOW		An Application Maintenance team is not in place	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order.



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Organizational Design and Skills Identified	Y	Informatica and MicroStrategy developer skills, knowledge of the functional area supported by the FP Data mart		6/9/01	RED		An Application Maintenance team is not in place	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order.
Knowledge Transfer Plan	Y	Various documentation exists including the documentation within the Informatica and MicroStrategy repositories		6/9/01	RED		An Application Maintenance team is not in place	Expedite discussions with Jim Lynch, Anna Allen and Johan Bos-Beijer to get approval for an Application Maintenance Task Order.



## SIGN-OFF MEMORANDUM

Date: May 24, 2001

This certifies that the FP Data Mart system has been tested and is recommended for implementation.

Independent Quality Assurance Signature:

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Mike Rockis  
Program Manager, Application Development QA Team

Security Officer Signature:

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Andy Boots  
Champion for Information Security and Privacy

VDC Signature:

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Dave Lass  
Service Delivery Manager

Partners Services Director Signature:

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Katrina Turner  
Financial Partners – Partner Services Director

FP Data Mart SFA Team Lead Signature:

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Anna Allen  
Financial Partners – Partner System Liaison Director



CIO IT Management Signature:

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Denise Hill  
Deputy CIO – IT Management

Executive Sponsor Signature:

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Johan Bos-Beijer  
Financial Partners Deputy General Manager

CIO Signature:

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Steve Hawald  
CIO

